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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR § 1.53(b))

| Attorne | v Docket No. | 0609.4110001/REF/JUK | | |
|---|-------------------------------------|--|--|--|
| First Inventor or Application Identifier | | Rudolph E. TANZI | | |
| Title | A Diagnostic Ass Aβ Abnormalitie | say for Alzheimer's Disease: Assessment s | | |

Express Mail Label No.

| S | APPLICATION ELEMENTS ee MPEP chapter 600 concerning utility patent application contents. | Assistant Commissioner for Patents ADDRESS TO: Box Patent Application Washington, DC 20231 | | | | | | | | | |
|---|---|---|--|--|--|--|--|--|--|--|--|
| I. ⊠ 2. ⊠ | * Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original, and a duplicate for fee processing) Specification [Total Pages 67] (preferred arrangement set forth below) - Descriptive title of the Invention - Cross References to Related Applications - Statement Regarding Fed sponsored R & D - Reference to Microfiche Appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure | 6. ☐ Microfiche Computer Program (Appendix) 7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. ☐ Computer Readable Copy b. ☐ Paper Copy (identical to computer copy) c. ☐ Statement verifying identity of above copies | | | | | | | | | |
| 3. 🛛 | Drawings (35 U.S.C. 113) [Total Sheets 26] | ACCOMPANYING APPLICATION PARTS | | | | | | | | | |
| 4. 🛛 | Oath or Declaration [Total Pages 2] | 8. Assignment Papers (cover sheet & document(s)) | | | | | | | | | |
| | a. Newly executed (original or copy) | 9. 37 CFR 3.73(b) Statement Power of Attorney (when there is an assignee) | | | | | | | | | |
| ŀ | o. ☐ Copy from a prior application (37 CFR 1.63(d)) for | 10. | | | | | | | | | |
| | continuation/divisional with Box 17 completed) [Note Box 5 below] | 11. | | | | | | | | | |
| | i. DELETION OF INVENTOR(S) | 12. Preliminary Amendment and Submission of Sequence Listing | | | | | | | | | |
| | Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR §§ 1.63(d)(2) and 1.33(b). | 13. Return Receipt Postcard (MPEP 503) (Should be specifically itemized) | | | | | | | | | |
| 5. 🖾 | Incorporation By Reference (useable if Box 4b is checked) The entire disclosure of the prior application, from which a copy of the oath declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein. | 15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed) 16. ☑ Other: 37 C.F.R. § 1.136(a)(3) Authorization Other: *NOTE FOR ITEMS 1 & 14: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R § 1.27), EXCEPT IF ONE FILED IN A | | | | | | | | | |
| 17 If | a CONTINUING APPLICATION, check appropriate box, and su | PRIOR APPLICATION IS RELIED UPON (37 C.F.R. §1.28). | | | | | | | | | |
| _ | _ | | | | | | | | | | |
| × | Continuation □ Divisional □ Continuation-in- | Part (CIP) of prior application No: 08/817,423 | | | | | | | | | |
| Pr | ior application information: Examiner P. Duffy Gr | oup/Art Unit: 1645 | | | | | | | | | |
| | 18. CORRESPOND | DENCE ADDRESS | | | | | | | | | |
| ☐ Customer Number or ☑ Correspondence or Bar Code Label (Insert Customer No. or Attach bar code label here) address below | | | | | | | | | | | |
| NAME | STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C. | | | | | | | | | | |
| Attomeys at Law | | | | | | | | | | | |
| ADDRES | SS Suite 600, 1100 New York Avenue, N.W. | Suite 600, 1100 New York Avenue, N.W. | | | | | | | | | |
| CITY | Washington STATE | DC ZIP CODE 20005-3934 | | | | | | | | | |
| COUNT | TRY USA TELEPHONE | (202) 371-2600 FAX (202) 371-2540 | | | | | | | | | |
| [/ | NAME (Print/Type) Judith U. Kim Registro | ation No. (Attorney/Agent) 40,679 | | | | | | | | | |

SIGNATURE October 25, 1999 Date

Burden Hour Statement: this form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

PTO/SB/17 (6/99) proved for use through 09/30/2000. OMB 0651-0032 demark Office: U.S. DEPARTMENT OF COMMERCE

Patent 2 demark Office: U.S. DEPARTMENT OF Under the Paperwork Reduction Act of 1995 persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 1999

Patent fees are subject to annual revision. Small Entity payments <u>must</u> be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12. See 37 C.F.R. §§ 1.27 and 1.28.

| Complete if Known | | | | | | |
|------------------------|----------------------|--|--|--|--|--|
| Application Number | To be assigned | | | | | |
| Filing Date | October 25, 1999 | | | | | |
| First Named Inventor | Rudolph E. TANZI | | | | | |
| Examiner Name | To be assigned | | | | | |
| Group / Art Unit | To be assigned | | | | | |
| Attorney Docket Number | 0609.4110001/REF/JUK | | | | | |

TOTAL AMOUNT OF PAYMENT

(\$)801.00

| METHOD OF PAYMENT (check one) | FEE CALCULATION (continued) | | | | | | | |
|---|---|----------------------|--------------|---------------|--|------|--|--|
| 1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to: | 3. addi | TIONAL F | EES | | | | | |
| Deposit Account Number 19-0036 | | | | | | ' | | |
| D 114 | Large Fee | Entity Fee | Small Fee | Entity Fee | | Fee | | |
| Name Sterne, Kessler, Goldstein & Fox P.L.L.C. | Code | (\$) | Code | (\$) | Fee Description | Paid | | |
| ☐ Charge Any Additional Fee Required Under 37 CFR | 105 | 130 | 205 | 65 | Surcharge - late filing fee or oath | | | |
| §§ 1.16 and 1.17 | 127 | 50 | 227 | 25 | Surcharge - late provisional filing fee or cover sheet | | | |
| | 139 | 130 | 139 | 130 | Non-English specification | | | |
| 2. A Payment Enclosed: A Check No. 25744 | 147 | 2,520 | 147 | 2.520 | For filing a request for reexamination | | | |
| ☐ Money Order ☐ Other* | | _,=== | | _, | | | | |
| *Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036. | 112 | 920* | 112 | 920* | Requesting publication of SIR prior to Examiner action | | | |
| FEE CALCULATION | 113 | 1,840* | 113 | 1,840* | Requesting publication of SIR after Examiner action | | | |
| | 115 | 110 | 215 | 55 | Extension for reply within first month | | | |
| 1. BASIC FILING FEE | 116 | 380 | 216 | 190 | Extension for reply within second month | | | |
| Large Entity Small Entity | 117 | 870 | 217 | 435 | Extension for reply within third month | | | |
| Fee Fee Fee Fee Description Fee Paid | 118 | 1,360 | 218 | 680 | Extension for reply within fourth month | | | |
| Code (\$) Code (\$) | 128 | 1,850 | 228 | 925 | Extension for reply within fifth month | | | |
| 101 760 201 380 Utility filing fee 380.00 | 119 | 300 | 219 | 150 | Notice of Appeal | | | |
| 106 310 206 155 Design filing fee | 120 | 300 | 220 | 150 | Filing a brief in support of an appeal | | | |
| 107 480 207 240 Plant filing fee | 121 | 260 | 221 | 130 | Request for oral hearing | | | |
| 108 760 208 380 Reissue filing fee | 138 | 1,510 | 138 | 1,510 | Petition to institute a public use proceeding | | | |
| 114 150 214 75 Provisional filing fee | 140 | 110 | 240 | 55 | Petition to revive - unavoidable | | | |
| | 141 | 1,210 | 241 | 605 | Petition to revive - unintentional | | | |
| SUBTOTAL (1) (\$) 380.00 | 142 | 1,210 | 242 | 605 | Utility issue fee (or reissue) | | | |
| | 143 | 430 | 243 | 215 | Design issue fee | | | |
| enter a l'Alian de la company de la compa | 144 | 580 | 244 | 290 | Plant issue fee | | | |
| 2. EXTRA CLAIM FEES Fee from Extra below Fee Paid | 122 | 130 | 122 | 130 | Petitions to the Commissioner | | | |
| Total Claims 48 - 20** = 28 X 9 = 252.00 | 400 | | 400 | | 2-19 | | | |
| Indep. Claims 4 - 3** = 1 X 39 = 39 | 123 | 50 | 123 | 50 | Petitions related to provisional applications | | | |
| Multiple Dependent <u>130</u> = <u>130.00</u> | 126 | 240 | 126 | 240 | Submission of Information Disclosure Stmt | | | |
| **or number previously paid, if greater; For Reissues, see below Large Entity Small Entity Fee Fee Fee Fee Fee Description Code (\$) Code (\$) | 581 | 40 | 581 | 40 | Recording each patent assignment per property (times number of properties) | | | |
| 103 18 203 9 Claims in excess of 20 | 146 | 760 | 246 | 380 | Filing a submission after final rejection | | | |
| 102 78 202 39 Independent claims in excess of 3 | | | | | (37 ČFR 1.129(a)) | | | |
| 104 260 204 130 Multiple dependent claim | 149 | 760 | 249 | 380 | For each additional invention to be examined | | | |
| 108 78 209 39 **Reissue independent claims over original patent | Othor for ' | nooif A - | | | (37 CFR 1.129(b)) | | | |
| 110 18 210 9 **Paissue claims in excess of 20 and | | Other fee (specify): | | | | | | |
| over original patent | Other fee (specify) : *Reduced by Basic Filing Fee Paid | | | | | | | |
| SUBTOTAL (2) (\$) 421.00 | | اع ماده دار | y ree | · aiu | | | | |
| · · · · · · · · · · · · · · · · · · · | | | | | SUBTOTAL (3) (\$) 0.00 | | | |
| | | a | | | | | | |

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**REGISTERED PATENT AGENTS

October 25, 1999

WRITER'S DIRECT NUMBER: (202) 371-2678

Assistant Commissioner for Patents Washington, D.C. 20231

Box Patent Application

ngton, D.C. 20231

Re: U.S. Non-Provisional Utility Patent Application Under 37 C.F.R. § 1.53(b)

Appl. No. To be assigned; Filed: Herewith (October 25, 1999) (Continuation of Appl. No. 08/817,423; Filed August 4, 1997)

For: A Diagnostic Assay for Alzheimer's Disease:

Assessment of AB Abnormalities

Inventors:

TANZI et al.

Our Ref:

0609.4110001/REF/JUK

Sir:

The following documents are forwarded herewith for appropriate action by the U.S. Patent and Trademark Office:

- 1. PTO Utility Patent Application Transmittal Form (PTO/SB/05);
- 2. PTO Fee Transmittal Form PTO/SB/17 (in duplicate);
- 3. U.S. Utility Patent Application entitled:

A Diagnostic Assay for Alzheimer's Disease: Assessment of $\ensuremath{\mathsf{A}\beta}$ Abnormalities

and naming as inventors:

Rudolph E. TANZI, Canton, MA;

٠,

Assistant Commissioner for Patents October 25, 1999 Page 2

Ashley I. BUSH, Somerville, MA; and Robert D. MOIR, Boston, MA

the application consisting of:

- a. A specification containing:
 - (i) 60 pages of description prior to the claims;
 - (ii) 6 pages of claims (34 claims);
 - (iii) a one (1) page abstract;
- b. 26 sheets of drawings (Figures 1a, 1b, 1c, 1d, 1e, 2a, 2b, 2c, 3a, 3b, 4a, 4b, 5, 6a, 6b, 6c, 6d, 7a, 7b, 7c, 7d, 8a, 8b and 9-11);
- c. A paper copy of the sequence listing;
- d. A computer readable disk copy of the sequence listing;
- e. A copy of the original executed Declaration, as filed in U.S. Appl. No. 08/817,423;
- f. Our check No. 25744 for \$801.00 to cover: \$380.00 filing fee for patent application; \$421.00 fee for excess claims;
- 4. Preliminary Amendment and Submission of Sequence Listing;
- 5. A copy of original executed Statement Claiming Small Entity Status, as filed in U.S. Appl. No. 08/817,423;
- 6. Authorization to Treat a Reply As Incorporating An Extension of Time Under 37 C.F.R. § 1.136(a)(3) (in duplicate); and
- 7. Two (2) return postcards.

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible.

 Assistant Commissioner for Patents October 25, 1999 Page 3

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Judith U. Kim

Attorney for Applicants Registration No. 40,679

Judith U. Rim

REF/JUK/lam Enclosures

P:\USERS\JKIM\0609\411-1\Pto\cont.trn

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

TANZI et al.

Appl. No. To be assigned

Filed: Herewith (October 25, 1999)

For:

A Diagnostic Assay for

Alzheimer's Disease: Assessment

of AB Abnormalities



Art Unit: To be assigned

Examiner: To be assigned

Atty. Docket: 0609.4110001/REF/JUK

Authorization To Treat A Reply As Incorporating An Extension Of Time Under 37 C.F.R. § 1.136(a)(3)

Assistant Commissioner for Patents Washington, D.C. 20231

Sir:

The U.S. Patent and Trademark Office is hereby authorized to treat any concurrent or future reply that requires a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. The U.S. Patent and Trademark Office is hereby authorized to charge all required extension of time fees to our Deposit Account No. 19-0036, if such fees are not otherwise provided for in such reply. A duplicate copy of this authorization is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Judith U. Kim

Attorney for Applicants Registration No. 40,679

Gudith U. Kim

Date: October 25, 1999

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